

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
REQUEST FOR FILING NATIONAL PATENT APPLICATION

Under 35 USC 111(a) and Rule 53(b)

PATENT APPLICATION

JC927 U.S. PTO  
09/994659  
11/26/01

11/26/01

11/26/01

Commissioner of Patents  
Washington, D.C. 20231

WITH SIGNED DECLARATION

NONPROVISIONAL  
NON REISSUE  
NON PCT NAT PHASE



00909

Sir:

Herewith is the PATENT APPLICATION of  
Inventor(s): KAGAMI et al.

Title METHOD FOR MANUFACTURING OPTICAL  
TRANSMISSION DEVICE

Atty. Dkt.: P 284170 T36-137764M/KOH  
M# Client Ref

Date: November 28, 2001

including:

1. Specification: 115 pages (only spec. and claims) 2. ☐ Specification in non-English language  
3. Declaration ☒ Original ☐ Facsimile/Copy ☒ Abstract 1 page(s); 37 numbered claims  
4. ☒ Drawings: 17 sheet(s) ☐ informal; ☒ formal of size: ☒ A4 ☐ 11"  
5. ☐ See top first page re prior Provisional, National or International application(s). ("X" box only if info is there and do not complete item 6 or 7). (Prior M# SN )  
6. This application claims benefit of the following prior US application(s), the contents of which are incorporated into this application by this reference:

No. 09/ 946802 filed September 6, 2001  
No. / filed  
No. / filed  
No. PCT / filed

Designated the US and that International Application ☐ was ☐ was not published under PCT Article 21(2) in English

☒ See the attached Preliminary Amendment, which amends the specification to claim benefit of the above listed US application(s)

8. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.

9. ☐ Assignee (optional):  
Address

10. FOREIGN priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in JAPAN (country)

Application No.	Filing Date	Application No.	Filing Date
(1) 2000-365223	November 30, 2000	(2) 2000-402883	December 28, 2000
(3) 2001-054705	February 28, 2001	(4) 2001-165068	May 31, 2001
(5)		(6)	
(7)		(8)	
(9)		<input type="checkbox"/> See 3rd page for additional priorities	

12. 4 (No.) Certified copy (copies): ☒ attached; ☐ previously filed (date) filed on

13. Small entity status ☒ is not claimed; ☐ is claimed (Pre-filing confirmation required)

13(a). ☐ Attached: (No.) Small Entity Statement(s) (since 9/8/00 small entity statement(s) not essential to make claim)

13(b). ☐ See NONPUBLICATION REQUEST under Rule 213(a) attached (Pat-258)

14. **DOMESTIC/INTERNATIONAL** priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1) 09/946,802	September 6, 2001	(4)	
(2)		(5)	
(3)		(6)	

15. ☐ This application is being filed under Rule 53(b)(2) since an inventor is named in the enclosed Declaration who was not named in the prior application.

16. ☐ Attached:

17. ☐ Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

					Large/Small Entity	Fee Code
18. Basic Filing Fee					\$740/\$370	101/201
19. Total Effective Claims	37	minus 20 =	*17		x \$18/\$9 =	103/203
20. Independent Claims	4	minus 3 =	*1		x \$84/\$42 =	102/202
"If answer is zero or less, enter "0"						
21. If any proper multiple dependent claim (ignore improper) is present, add (Leave this line blank if this is a reissue application)					+ \$280/\$140	104/204
22. TOTAL FILING FEE ENCLOSED =					\$1130	
23. If "non-English" box 2 is X'd, add Rule 17(k) processing fee					+ \$130	139
24. If "assignment" box 8 is X'd, add recording fee					+ \$40	581
25. <input type="checkbox"/> Attached is a Petition/Fee under Rule No.					+ \$130	122
TOTAL FEE ENCLOSED =						\$1170

Our Deposit Account No. 03-3975

Our Order No. 51273

284170

CH

M#



00909

**CHARGE STATEMENT.** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficient fee only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown above for which purpose a duplicate copy of this sheet is attached.

This **CHARGE STATEMENT** does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Winthrop LLP**  
Intellectual Property Group

By Atty: John P. Darling

Reg. No. 44,482

Sig:

*John P. Darling*

Fax: (703) 905-2500  
Tel: (703) 905-2045

Atty/Sec: JPD/JRH

NOTE: File in duplicate with 2 post card receipts (PAT-103) & attachments